



COPY OF PAPERS  
ORIGINALLY FILED

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT : THOMANN, KAREN S.  
SERIAL NO : 10/086,336  
FILED : March 1, 2002  
TITLE : AUTOMATED WORKFLOW MEANS AND METHOD FOR  
PENSION PRODUCTS

Grp./A.U. : 2163  
Examiner :  
Conf. No. : 4139  
Docket No. : P04514US0

COMPLETION OF FILING REQUIREMENTS

To the Assistant Director for Patents  
Washington, D.C. 20231

ATTN: Application Branch

Dear Sir:

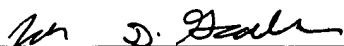
This replies to the Office letter dated April 8, 2002. A copy of the Notice to File Missing Parts of Nonprovisional Application -- Filing Date Granted is enclosed.

No original declaration was filed, and enclosed is the original signed declaration for this application, along with the original signed power of attorney.

Please note that the inventors identified at the time of filing of the application sets forth a different inventive entity than the actual inventorship of the application. Thus, under MPEP § 201.03 and 37 C.F.R. § 1.41(a)(1), the actual inventorship of the application should be taken from the executed oath or declarations enclosed herein.

CERTIFICATE OF MAILING

I hereby certify that this document and the documents referred to as enclosed therein are being deposited with the United States Postal Service as First Class mail in an envelope addressed to: Assistant Director for Patents, Attn: Application Branch, Washington, D.C. 20231, on this 29 day of May, 2002.

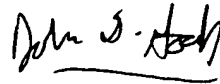
  
John D. Goodhue

Attached is a statement that the "attached" specification is a copy of the specification and any amendments thereto which were filed in the PTO to obtain the filing date.

Also attached is the required fee of \$130.00 for a large entity to cover the late filing of original declaration under 37 CFR 1.16(e).

Please charge any underpayment or credit any over payment to Deposit Account No. 26-0084. A duplicate of this request is attached.

Respectfully submitted,



JOHN D. GOODHUE, Reg. No. 47,603  
McKEE, VOORHEES & SEASE  
801 Grand Avenue, Suite 3200  
Des Moines, Iowa 50309-2721  
Phone No. (515) 288-3667  
Fax No. (515) 288-1338  
**CUSTOMER NO: 22885**

Attorneys of Record

- bja -

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## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/086,336	03/01/2002	Karen S. Thomann	P04514US0

22885  
MCKEE, VOORHEES & SEASE, P.L.C.  
801 GRAND AVENUE  
SUITE 3200  
DES MOINES, IA 50309-2721



CONFIRMATION NO. 4139

## FORMALITIES LETTER



\*OC000000007809883\*

Date Mailed: 04/08/2002

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

06/11/2002 BNGUYEN1 00000030 10086336

01 FC:105

130.00 OP



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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT : THOMANN, KAREN S.  
SERIAL NO : 10/086,336  
FILED : March 1, 2002  
TITLE : AUTOMATED WORKFLOW MEANS AND METHOD FOR  
PENSION PRODUCTS

Grp./A.U. : 2163  
Examiner :  
Conf. No. : 4139  
Docket No. : P04514US0

**STATEMENT BY ATTORNEY THAT PAPERS ATTACHED TO  
DECLARATION ARE A COPY OF THOSE FILED IN PTO TO GET  
A FILING DATE**

To the Assistant Director for Patents  
Washington, D.C. 20231

ATTN: Application Branch

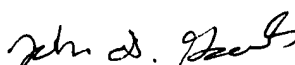
Dear Sir:

I, John D. Goodhue of McKee, Thomte, & Sease, 801 Grand Avenue, Suite 3200, Des Moines, Iowa 50309-2721, Registration No. 47,603, Telephone (515) 288-3667, state that I am the attorney for this application and that I have reviewed the

[ 1] page(s) of Abstract  
[ 29] pages of Specification  
[ 8] pages of claims  
[ 8] sheets of drawings

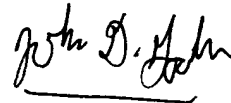
CERTIFICATE OF MAILING (37 C.F.R. § 1.8(a))

I hereby certify that this document and the documents referred to as enclosed therein are being deposited with the United States Postal Service as First Class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on this 18 day of May, 2002.

  
John D. Goodhue

as shown in my files to be the papers filed in respect to the above identified application and have compared them to the papers attached to the declarations of KAREN S. THOMANN, MARY J. CHIZEK, RICHARD C. JOHNSON, CARLA K. SEILER, PAUL N. DOUGLAS, and THOMAS R. HOUGHTON for AUTOMATED WORKFLOW MEANS AND METHOD FOR PENSION PRODUCTS which accompanies this statement and I declare that these papers attached to the declaration and power of attorney are a copy of the specification thereto which I filed in the PTO in order to obtain a filing date for this application by mailing to the PTO by Express Mail # EV060131312US on March 1, 2002.

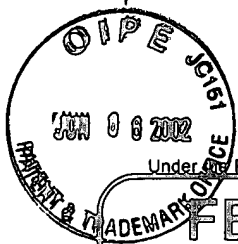
Respectfully submitted,



JOHN D. GOODHUE, Reg. No. 47,603  
ZARLEY, McKEE, THOMTE, VOORHEES  
& SEASE  
801 Grand Avenue, Suite 3200  
Des Moines, Iowa 50309-2721  
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Fax No. (515) 288-1338  
**CUSTOMER NO: 22885**

Attorneys of Record

- bja -



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PTO/SB/17 (11-01)

Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL

## for FY 2002

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 130.00

### Complete if Known

Application Number	10/086,336
Filing Date	March 1, 2002
First Named Inventor	THOMANN, KAREN S., et al.
Examiner Name	
Group Art Unit	2163
Attorney Docket No.	P04514US0

### METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number: 26-0084  
Deposit Account Name: McKee, Voorhees & Sease, P.L.C.

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments  
☐ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee to the above identified deposit account.

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 740	201 370	Utility filing fee	
106 330	206 165	Design filing fee	
107 510	207 255	Plant filing fee	
108 740	208 370	Reissue filing fee	
114 160	214 80	Provisional filing fee	

SUBTOTAL (1) (\$) 0

#### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Extra Claims Fee from below Fee Paid  
Total Claims  -20\*\* =  X  =   
Independent Claims  - 3\*\* =  X  =   
Multiple Dependent  =

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 84	202 42	Independent claims in excess of 3
104 280	204 140	Multiple dependent claim, if not paid
109 84	209 42	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0

\*\*or number previously paid, if greater; For Reissues, see above

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 920	217 460	Extension for reply within third month	
118 1,440	218 720	Extension for reply within fourth month	
128 1,960	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 320	220 160	Filing a brief in support of an appeal	
121 280	221 140	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,280	241 640	Petition to revive - unintentional	
142 1,280	242 640	Utility issue fee (or reissue)	
143 460	243 230	Design issue fee	
144 620	244 310	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	130.00
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179 740	279 370	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$) 130.00

### SUBMITTED BY

Name (Print/Type)	JOHN D. GOODHUE	Registration No. (Attorney/Agent)	47,603	Telephone	(515) 288-3667
Signature	<i>John D. Goodhue</i>	Date	5/28/02		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.